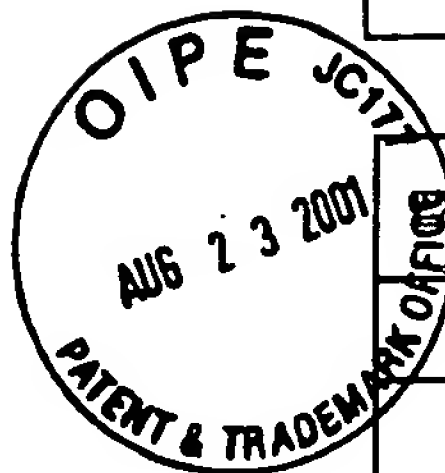


PTO-1449 (Modified)  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT	ATTY. DOCKET NO. 3797.86780	SERIAL NUMBER 09769,438
	APPLICANT Joseph M. Joy et al.	
	FILING DATE January 26, 2001	GROUP ART UNIT 2661



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
VN	6,094,530	7/25/00	Brandewie			
VN	5,978,902	11/2/99	Mann			
VN	5,911,059	6/8/99	Profit, Jr.			
VN	5,845,152	12/1/98	Anderson et al.			

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Search Report
	The Promoters of the 1394 Open HCI, "1394 Open Host Controller Interface Specification", September 29, 1997, pages 1-168

EXAMINER <i>VanHeugyn</i>	DATE CONSIDERED 5/10/04
EXAMINER: Initial citation if reference was considered. Draw line through citation if not in conformance to MPEP 609 and not considered. Include copy of this form with next communication to applicant.	



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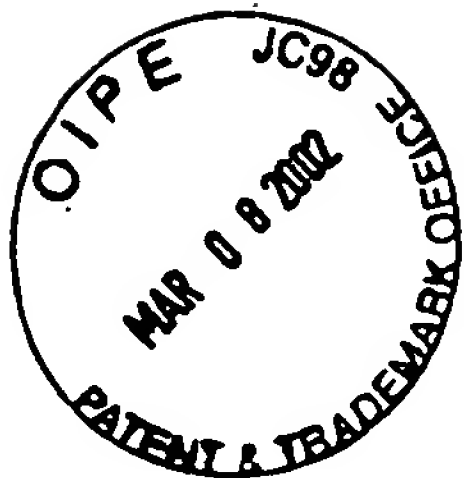
Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	09/769,438
		Filing Date	January 26, 2001
		First Named Inventor	Joseph M. Joy
		Group Art Unit	2661
		Examiner Name	TBA
		Attorney Docket Number	003797.86780
Sheet 1 of			

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OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
VN		D. PLUMMER, "RFC 826: An Ethernet Address Resolution Protocol", <a href="http://cie.motor.ru/RFC/Orig/rfc826.txt">http://cie.motor.ru/RFC/Orig/rfc826.txt</a> , November 1982, pp. 1-8.	.
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VN		International Electrotechnical Commission, "Consumer audio/video equipment- Digital interface- Part 1: General", IEC First edition, February 1998, Reference no. 61883-1, pp. 7-78	.
VN		International Electrotechnical Commission, "Consumer audio/video equipment- Digital Interface- Part 2: SD-DVCR data transmission", IEC First edition, February 1998, Reference no. 61883-2, pp. 5-15.	.
VN		International Electrotechnical Commission, "Consumer audio/video equipment- Digital interface- Part 3: HD-DVCR data transmission", IEC First edition, February 1998, Reference no. 61883-3, pp. 5-13.	.
VN		International Electrotechnical Commission, "Consumer audio/video equipment- Digital interface- Part 4: MPEG2-TS data transmission", IEC First edition, February 1998, Reference no. 61883-4, pp. 5-23.	.
VN		International Electrotechnical Commission, "Consumer audio/video equipment- Digital interface- Part 5: SDL-DVCR data transmission", IEC First edition, February 1998, Reference no. 61883-5, pp. 5-17	.
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VN		MindShare, Inc., D. ANDERSON, "Fire Wire System Architecture IEEE 1394a Second Edition PC System Architecture Series", December 1998, pp. 13-34.	.
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VN		Microsoft Corporation, "Windows 2000 Driver Development Kit Documentation", <a href="http://www.microsoft.com/hwdev/ddk/DDKdocs/Win2k/202mini_60yv.htm">www.microsoft.com/hwdev/ddk/DDKdocs/Win2k/202mini_60yv.htm</a> , April 1999	.
VN		Microsoft Corporation, "Windows 2000 Driver Development Kit Documentation", <a href="http://www.microsoft.com/hwdev/ddk/DDKdocs/Win2k/102gen_9eg7.htm">http://www.microsoft.com/hwdev/ddk/DDKdocs/Win2k/102gen_9eg7.htm</a> , et al., April 1999.	.
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

1

of

**Complete if Known**

Application Number	09/769,438
Filing Date	January 26, 2001
First Named Inventor	Joseph M. Joy
Group Art Unit	2661
Examiner Name	TBA
Attorney Docket Number	003797.86780

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**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
VN		Microsoft Corporation, "Quality of Service Technical White Paper", 1999	.
VN		IETF, T. SAITO, et al., "IP over iso1394' and 'AV over iso1394' controlled by an extension of MCAP", <a href="http://search.ietf.org/internet-drafts/draft-ietf-ip1394-ip-over-iso1394-00.txt">http://search.ietf.org/internet-drafts/draft-ietf-ip1394-ip-over-iso1394-00.txt</a> , pp. 1-11, September 1999	.
VN		Microsoft Corporation, "A Short Overview of QoS Mechanisms and Their Interoperation", 1999, pp. 1-7	.
VN		Congruent Software, Inc., P. JOHANSSON, "RFC 2734: Ipv4 over IEEE 1394", December 1999,	.
VN		D. STEINBERG, et al., "An Empirical Analysis of the IEEE-1394 Serial bus Protocol", IEEE January 2000, pp. 58-64.	.
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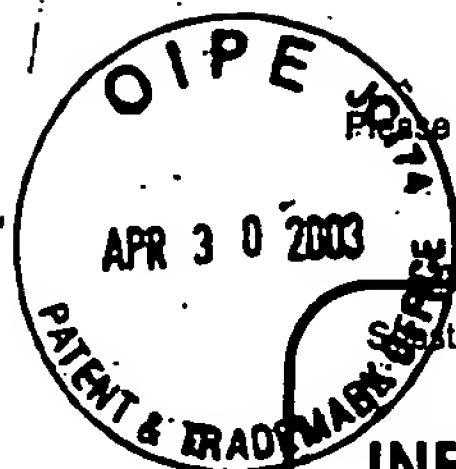
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<sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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### Complete if Known

Application Number	09/769,438
Filing Date	January 26, 2001
First Named Inventor	Joseph M. JOY et al.
Group Art Unit	2661
Examiner Name	Olms, D.
Attorney Docket Number	003797.86780

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### U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
VN		5,938,735		Malik	8/17/1999	
VN		5,953,511		Sescila, III et al.	9/14/1999	
VN		5,991,520		Smyers et al.	11/23/1999	
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VN		6,134,662		Levy et al.	10/17/2000	
VN		6,279,123	B1	Mulrooney	8/21/2001	
VN		6,353,595	B1	Wipfel et al.	3/5/2002	
VN		6,374,399	B1	Mann	4/16/2002	
VN		6,378,000	B1	Akatsu et al.	4/23/2002	
VN		6,496,509	B1	Fant	12/17/2002	
VN		6,522,654	B1	Small	2/18/2003	

### FOREIGN PATENT DOCUMENTS

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

### OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
VN		G. Hoffman et al., IEEE 1394: A Ubiquitous Bus, COMPCON '95, 3/5/1995, pp. 1-9, www.skipstone.com/comcon.html	
VN		IEEE std 1394-1995, IEEE Standard for a High Performance Serial Bus, 1996, pp. 1-45	

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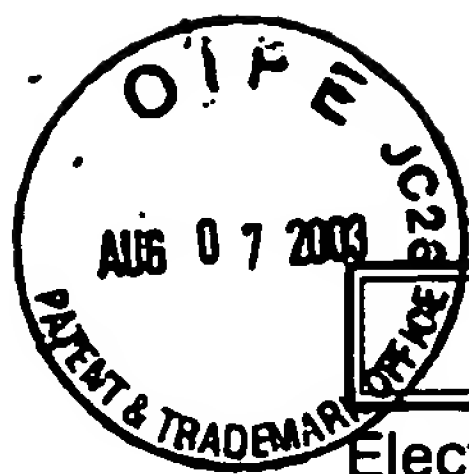
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## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of  
Invention

METHOD AND APPARATUS FOR EMULATING  
ETHERNET FUNCTIONALITY OVER A SERIAL BUS

Application Number: 09/769438  
Confirmation Number: 3778  
First Named Applicant: Joseph Joy  
Attorney Docket Number: 003797.86780  
Art Unit: 2661  
Examiner: D Olms  
Search string: ( 6347337 ).pn.



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Certification: This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
IN	1	6347337	2002-02-12	Shah	B1		

### Remarks

Note: Remarks are not for responding to an office action.

In accordance with Applicants' duty of disclosure, the following information is submitted for consideration by the United States Patent and Trademark Office in connection with the above-captioned application. The information is identified on the attached PTO 1449 form. The undersigned certifies under 37 C.F.R. 1.97(e)(2) that no item of



information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the information disclosure statement. The references were first cited in related application Serial No. 09/662,155 in an Office Action mailed July 25, 2003. Applicants do not waive any right to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. It is respectfully requested that the Examiner fully consider each of the documents, initial the enclosed Form PTO-1449 in the appropriate place to indicate that the document has been considered, and return a copy of the initialed form to the undersigned in accordance with MPEP Section 609. Applicants believe that no fee is necessary pursuant to 37 C.F.R. 1.97(b). However, if a fee is due, the Office is authorized to charge Deposit Account No. 19-0733.

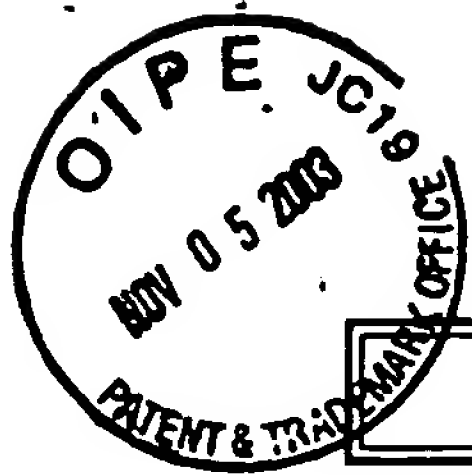
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Examiner Name	Date
<i>Vanheguy</i>	5/10/04



# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of Invention	Method and Apparatus for Emulating Ethernet Functionality Over a Serial Bus																																									
<div>Application Number: 09/769438</div> <div>Confirmation Number: 3778</div> <div>First Named Applicant: Joseph Joy</div> <div>Attorney Docket Number: 003797.86780</div> <div>Art Unit: 2661</div> <div>Examiner: D Olms</div> <div>Search string: ( 6434117 or 6538758 or 6600756 or 6430635 or 20020133632 or 20020141418 or 20030078063 ).pn.</div> <div> <b>RECEIVED</b> NOV 12 2003 Technology Center 2600</div>																																										
<p><u>Certification:</u> This Information Disclosure Statement was submitted under the following conditions, which satisfies the requirement under 37 CFR 1.97(e). The filer certified:</p> <p>That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.</p>																																										
<h3>US Patent Documents</h3> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td>N</td><td>1</td><td>6434117</td><td>2002-08-13</td><td>Momona</td><td></td><td></td><td></td></tr><tr><td>N</td><td>2</td><td>6538758</td><td>2003-03-25</td><td>Ikegawa</td><td></td><td></td><td></td></tr><tr><td>N</td><td>3</td><td>6600756</td><td>2003-07-29</td><td>Haviland</td><td></td><td></td><td></td></tr><tr><td>N</td><td>4</td><td>6430635</td><td>2002-08-06</td><td>Kwon et al.</td><td></td><td></td><td></td></tr></tbody></table>			init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	N	1	6434117	2002-08-13	Momona				N	2	6538758	2003-03-25	Ikegawa				N	3	6600756	2003-07-29	Haviland				N	4	6430635	2002-08-06	Kwon et al.			
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init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
N	1	20020133632	2002-09-19	Salloum Salazar	A1		
N	2	20020141418	2002-10-03	Ben-Dor et al.	A1		
N	3	20030078063	2003-04-24	Legallais et al.	A1		

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## Remarks

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## Signature

Examiner Name	Date
<i>V. H. Guy</i>	5/10/04